

**CERTIFIED AGGREGATE  
PRODUCER PROGRAM  
AUDIT CHECKLIST**

Date \_\_\_\_\_

Page \_\_\_\_ of \_\_\_\_

Source No. \_\_\_\_\_

Q No. \_\_\_\_\_

Plant/Redistribution Terminal Name \_\_\_\_\_

Plant/Redistribution Terminal Location \_\_\_\_\_

DMTE or \_\_\_\_\_

**INDOT Audit Team Members**

	<u>Name</u>	<u>Position</u>
1.	_____	Geologist
2.	_____	Area Supervisor
3.	_____	Aggregate Technician
4.	_____	_____
5.	_____	_____
6.	_____	_____
7.	_____	_____

Geologist or \_\_\_\_\_

**Plant/Redistribution Terminal Members**

	<u>Name</u>	<u>Position</u>
1.	_____	Certified Agg. Tech.
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____

**1. GENERAL INSTRUCTIONS****DMTE**

*Certified Aggregate Producer Program (CAPP)  
Quality Control Plan (QCP)  
Certified Aggregate Technician (CAT)*

*Any square bracket marked by an X on the Audit Checklist requires a Corrective Action Sheet to be prepared. The Corrective Action Sheet will be prepared when a deficiency is found, and a copy given to the Producer by the end of the audit. All other square brackets shall have a check, if the item is satisfactory, or NA if not applicable.*

*Begin the audit by having all INDOT audit members review the QCP before arriving at the Producer's site. Likewise, checklists prepared during previous audits, especially the last one, will be reviewed. All members of the audit team should compare revision dates of each page to verify that their QCP includes all current addenda.*

*A listing of applicable INDOT documents and Indiana Test Methods are maintained in the CAPP Document List. The current revision date for each publication is provided in the list.*

1.1 [ ] Area supervisor or \_\_\_\_\_ has listing of documents

*The Addenda Summary Sheet and QCP Annex are required to be maintained in the QCP Appendix. Items on these two sheets should be reviewed and the Producer instructed that the necessary addenda for these items be submitted at the close-out meeting.*

1.2 [ ]\* Addenda Summary Sheet and QCP Annex reviewed

\* Only If Applicable

**2. PRODUCTION FLOW DIAGRAM**ITM 211 Reference  
14.2.7**Geologist or** \_\_\_\_\_

- 2.1 [ ] The Annual Aggregate Source Report for Stone Producers represents conditions found at source and as required by ITM 203

*Review the diary and note locations where material has been extracted.*

- 2.2 [ ] Locations noted in diary match areas that have been mined as shown on grid in the Annual Aggregate Source Report

*Begin at the origin of the material, which is the quarry or the pit. Inspect the site and view the entire process tracing all information shown on the QCP flow diagram. Also, note any discrepancies of the production process with that shown or described in the QCP. End at the point of shipment.*

*The Producer will be reviewed for any deviations in the ledge processing or changes in the plant, including crushers, washers, bins, belt routes, screen combinations, delivery and off loading processes, etc. Specific details, such as manufacturers names, screen sizes, dimensions, etc., are not required on the flow diagram..*

- 2.3 [ ] Plant in accordance with QCP

- 2.4 [ ] Changes noted in diary

*Identify all material stockpiles and bins within Producer's yard.*

- 2.5 [ ]\* All stockpiles and bins have signs indicated in QCP

- 2.6 [ ]\* Stockpile map is current and located as indicated in QCP

- 2.7 [ ] All material stockpiles and bins are listed as materials or otherwise accounted for in QCP

- 2.8 [ ]\* Air-cooled blast furance slag stockpiles designated for leachate testing are approximately 2000 tons.

*The QCP will cover any other process control techniques that will be used beyond the minimums established by INDOT specifications and policies.*

- 2.9 [ ]\* Other process control techniques are as defined in QCP

\* Only If Occurs

**3. QUALITY CLASSIFICATIONS**ITM 211 References

14.2.3

14.2.4

14.2.5

**Geologist or** \_\_\_\_\_

*A list and description of all portions of the mineral deposits indicating the different quality classes as described in ITM 203, ITM 205, and ITM 210 will be provided in the QCP. The manner in which each quality class is processed, handled and stockpiled will be covered.*

- 3.1 [ ] Each quality class is processed, handled and stockpiled in accordance with the QCP

*An explanation for each product having marginal quality characteristics and the plans or controls to be used for such products shall be provided in the QCP.*

- 3.2 [ ]\* Each marginal quality class material is processed, handled and stockpiled in accordance with QCP

\* Only If Producer Has Materials With Marginal Quality Characteristics

**4. MATERIALS**ITM 211 References

3.9

5.2

**Geologist or** \_\_\_\_\_

*If the Producer is a Redistribution Terminal, prior source documentation of a material obtained from another aggregate source shall be provided by the Producer.*

- 4.1 [ ] Quality satisfactory as verified by being from a Certified Producer and a Certified Material, or traced to original INDOT approved source

*The list of Certified Materials for the Producer shall be compared with the materials indicated in the QCP and the materials on site for Department use.*

- 4.2 [ ] The list of Certified Materials is in accordance with the QCP.

*If the source has yet to be CAPP approved, then a list of products, ledges, if applicable, and source code numbers will be tabulated and included with the Audit Checklist*

**5. PRODUCER GENERAL INFORMATION**ITM 211 References

5.1

5.2

14.2.1

Area Supervisor or \_\_\_\_\_

- 5.1 [ ] Plant location and address in QCP is correct
- 5.2 [ ] Plant telephone and FAX numbers in QCP are correct
- 5.3 [ ] Producer's name and address in QCP are correct and ownership has not changed
- 5.4 [ ] Producer's telephone and FAX numbers in QCP are correct
- 5.5 [ ] Type of Producer (plant, redistribution terminal, or plant & redistribution terminal) identified in QCP is correct

**6. PRODUCER PERSONNEL**ITM 211 References

6.1

6.2

Area Supervisor or \_\_\_\_\_

*The Producer employees occupy the following positions.*

- 6.1 [ ] Management Representative
- 6.2 [ ] CAT(s)
- 6.3 [ ] Appointed CAT(s) Certification has not expired
- 6.4 [ ] All personnel conducting sampling and testing for the CAPP are Qualified Technicians

**7. DOCUMENTS**ITM 211 Reference

2.5

Area Supervisor or \_\_\_\_\_

*Determine whether the following documents are current and on file at the Producer's site or location indicated in QCP. Check the CAPP Document List for the most current dates of these items.*

- 7.1 [ ]\* INDOT Certified Aggregate Producer Program (ITM 211)
- 7.2 [ ]\* INDOT Standard Specification (Includes Supplemental Specifications sections 211, 301, 302, 303, 904 and 917)
- 7.3 [ ]\* INDOT Inspection and Sampling Procedure for Fine And Coarse Aggregates
- 7.4 [ ]\* Indiana Quality Assurance Certified Aggregate Technician Training Manual for Producer Technicians
- 7.5 [ ] Summary of Production Quality Test Results Letter, Summary of Ledge Quality Letter, and the AP Aggregate Approval Letter for all applicable materials produced at the Plant

\* May be maintained electronically or by hard copies.

- 7.6 [ ]\* All applicable INDOT, AASHTO, and ASTM Test Methods **referenced in QCP**. The documents are in accordance with the CAPP Document List.

ITM 206 _____	AASHTO T 2 _____
ITM 207 _____	AASHTO T 11 _____
ITM 212 _____	AASHTO T 27 _____
ITM 902 _____	AASHTO T 84 _____
ITM 903 _____	AASHTO T 85 _____
ITM 906 _____	AASHTO T 112 _____
ITM 910 _____	AASHTO T 248 _____
	ASTM D 4791 _____
	ASTM D 5821 _____

\* May be maintained electronically or by hard copies.

## 8. CONTROL CHARTS

ITM 211 Reference

13.0

Area Supervisor or \_\_\_\_\_

*All control charts.*

- 8.1 [ ] The control charts are maintained and posted on the wall of the on site lab or as indicated in the QCP
- 8.2 [ ] All materials identified as products in QCP, have a control chart which is posted (critical sieve or all sieves charted as required by CAPP)
- 8.3 [ ] The Target Means, Control Limits, and Specification Limits for all control charts are in accordance with QCP

*Select one **Production** control chart for a material with a **critical sieve** and check for conformance with the following criteria. Mark the square bracket with a Q for any deviation from the CAPP that is in accordance with the QCP.*

- 8.4 [ ] Material (Aggregate Size) clearly titled
- 8.5 [ ] Maintained until 30 production points are plotted and the previous 30 points, if applicable, are displayed (Certified Producers only)
- 8.6 [ ] If in the Trial Phase, charts are maintained since entering into the Trial Phase
- 8.7 [ ] All charts retained at least 3 years for Certified Producers in CAPP > 3 Years

**CONTROL CHARTS (continued)**

## Target Mean

- 8.8 [ ] Heavy long, then short dashed line  
8.9 [ ] Numerically identified in left margin to first decimal place (0.0)

## Control Limits

- 8.10 [ ] Upper and lower shown  
8.11 [ ] Heavy solid line  
8.12 [ ] Numerically identified in left margin to first decimal place (0.0) or rounded to nearest whole number (0)

## Specification Limits (Not required for critical sieves with control limits)

- 8.13 [ ] Upper and lower shown  
8.14 [ ] Short dashed lines  
8.15 [ ] Numerically identified in left margin to whole number (0)

## Production Test Results

- 8.16 [ ] Point surrounded by small circle and plotted to first decimal place (0.0)  
8.17 [ ] Consecutive points connected by solid straight line

## Moving Average of 5 Test Values

- 8.18 [ ] Point surrounded by small triangle  
8.19 [ ] Consecutive points connected by solid straight line

## Stockpile Load-out Test Results

- 8.20 [ ]\* Either on production or separate chart  
8.21 [ ] Point surrounded by small square

\* If separate chart, complete stockpile load-out control chart checklist sheet for material with critical sieve

## All Test Results

- 8.22 [ ] Points plotted left to right  
8.23 [ ] Test dates shown along horizontal axis

INCLUDE THIS SHEET ONLY IF STOCKPILE LOAD-OUT IS PLOTTED ON SEPARATE CHART

### CONTROL CHARTS (continued)

*Select one stockpile **Load-Out** control chart for a material with a **critical sieve** and check for conformance with the following criteria.*

- 8.24 [ ] Material (Aggregate Size) clearly titled
- 8.25 [ ] Maintained until 30 points are plotted and the previous 30 points, if applicable, are displayed (Certified Producers only)
- 8.26 [ ]\* All charts retained at least 3 years
- 8.27 [ ] If in the Trial Phase, charts are maintained since entering into the Trial Phase

\* Only If CP In CAPP > 3 Years

#### Target Mean

- 8.28 [ ] Heavy long, then short dashed line
- 8.29 [ ] Numerically identified in left margin to first decimal place (0.0)

#### Control Limits

- 8.30 [ ] Upper and lower shown
- 8.31 [ ] Heavy solid line
- 8.32 [ ] Numerically identified in left margin to first decimal place (0.0) or rounded to nearest whole number (0)

#### Specification Limits (Not required for critical sieves with control limits)

- 8.33 [ ] Upper and lower shown
- 8.34 [ ] Short dashed lines
- 8.35 [ ] Numerically identified in left margin to whole number (0)

#### Stockpile Load-out Test Results

- 8.36 [ ] Points surrounded by small squares and plotted to first decimal place (0.0)
- 8.37 [ ] Consecutive points connected by solid straight line

#### All Test Results

- 8.38 [ ] Points plotted left to right
- 8.39 [ ] Test dates shown along horizontal axis



**CONTROL CHARTS (continued)**

Select one **Production** control chart for a material with **no critical sieve** that requires all sieves to be plotted.

- 8.40 [ ] Material (Aggregate Size) clearly shown
- 8.41 [ ] Maintained until 30 production points are plotted and the previous 30 points, if applicable, are displayed (Certified Producers only)
- 8.42 [ ] All charts retained at least 3 years for Certified Producers in CAPP > 3 years
- 8.43 [ ] If in the Trial Phase, charts are maintained since entering into the Trial Phase

**Specification Limits**

- 8.44 [ ] Upper and lower shown on all sieves
- 8.45 [ ] Short dashed lines
- 8.46 [ ] Numerically identified in left margin to whole number (0)

**Production Test Results**

- 8.47 [ ] Point surrounded by small circle and plotted to first decimal place (0.0)
- 8.48 [ ] Consecutive points connected by solid straight line

**Stockpile Load-out Test Results**

- 8.49 [ ]\* Either on production chart or separate chart
- 8.50 [ ] Points surrounded by small squares

\* If separate chart, complete stockpile load-out control chart checklist sheet for product with all sieves

**All Test Results**

- 8.51 [ ] Point plotted left to right
- 8.52 [ ] Test dates shown along horizontal axis

INCLUDE THIS SHEET ONLY IF STOCKPILE LOAD-OUT IS PLOTTED ON SEPARATE CHART

### CONTROL CHARTS (continued)

*Select one **Load-Out** control chart for a material with **no critical sieve** and requiring all sieves to be plotted.*

- 8.53 [ ] Material (Aggregate Size) clearly shown
- 8.54 [ ] Maintained until 30 points are plotted and the previous 30 points, if applicable, are displayed (Certified Producers only)
- 8.55 [ ] All charts retained at least 3 years for Certified Producers in CAPP > 3 years
- 8.56 [ ] If in the Trial Phase, charts are maintained since entering into the Trial Phase

#### Specification Limits

- 8.57 [ ] Upper and lower shown on all sieves
- 8.58 [ ] Short dashed lines
- 8.59 [ ] Numerically identified in left margin to whole number (0)

#### Stockpile Load-out Test Results

- 8.60 [ ] Point surrounded by small square and plotted to first decimal place (0.0)
- 8.61 [ ] Consecutive points connected by solid straight line

#### All Test Results

- 8.62 [ ] Point plotted left to right
- 8.63 [ ] Test dates shown along horizontal axis

**9. DIARY**ITM 211 Reference

Area Supervisor or \_\_\_\_\_

10.0

12.5

12.7

*Select at random one active production month, for review of the diary. The diary shall be in accordance with the following requirements and information, except where "only if occurs" is noted*

- 9.1 [ ] Bound open format book
- 9.2 [ ] One page for each day that there is a material related operation
- 9.3 [ ] General weather conditions
- 9.4 [ ] Areas of mining operation - ledges or pit area
- 9.5 [ ] Materials produced and estimated quantities
- 9.6 [ ] Materials sampled and tested
- 9.7 [ ] Time samples were obtained and tests completed (may state that all samples obtained were tested the same day)
- 9.8 [ ]\* Changes in key personnel
- 9.9 [ ]\* Significant changes in equipment, plant, screens, etc
- 9.10 [ ]\* Significant events or problems
- 9.11 [ ]\* Nonconforming trend in 5-point moving average of control chart (7 or more points in a row are above or below target mean, or 7 or more points in a row are increasing or decreasing)
- 9.12 [ ] Signature by CAT or other persons signature counter-signed by CAT

*Any nonconforming normal production or load-out test shall be followed immediately by appropriate action. Search control charts for nonconforming tests. When some are found, review the diary on the date of each test for notations regarding action taken.*

- 9.13 [ ] Nonconforming tests are noted in diary
- 9.14 [ ] Corrective action was taken
- 9.15 [ ]\* After second consecutive nonconforming normal production test, notations indicate that the material was isolated
- 9.16 [ ]\* After second consecutive nonconforming load-out test, notations indicate that shipping from the stockpile was stopped

*Review the 30 most recent normal production tests that are charted for each Standard Specification or Quality Assurance product controlled by a critical sieve. Calculate the test compliance rate using the Compliance Rate Worksheet.*

- 9.17 [ ] Compliance rate  $\geq 95\%$  for each material
- 9.18 [ ] Compliance rate is  $< 95\%$  and  $\sigma \leq 5.0$  for a material (The target mean is required to be adjusted by a QCP Annex)
- 9.19 [ ] Compliance is  $< 95\%$  and  $\sigma > 5.0$  for a material. (The stockpile is required to be designated as an Alternate material)

\* Only If Occurs

**10. SAMPLING AND TESTING**ITM 211 References

Area Supervisor or \_\_\_\_\_

11.0

14.2.8

14.2.9

*The method of recording the quantities of materials **produced** at the Plant per day or time period will be identified in the QCP. Select an active one month period at random from this record. Obtain all production test reports for materials produced during the one month period. Perform calculations as needed and compare the quantities produced against the production test reports, thereby determining the demonstrated frequency of testing. The previous or subsequent monthly record may need to be obtained to verify the frequency of tests.*

- 10.1 [ ] Start of production frequency is in accordance with QCP, but is not less than once every 1000 t for the first 5000 t (except not required to exceed 2 per day)
- 10.2 [ ] Normal frequency is in accordance with QCP, but is not less than once every 2000 t (except not required to exceed 2 per day)

*The method of recording the quantities of materials produced at the Plant that are **shipped** per day or time period will be identified in the QCP. Select an active one month period at random from this record. Obtain all load-out test reports for materials shipped during the one month period. Perform calculations as needed and compare the quantities of materials shipped against the load-out test reports, thereby determining the demonstrated frequency of testing. The previous or subsequent monthly record may need to be obtained to verify the frequency of tests.*

- 10.3 [ ] Load-out frequency is in accordance with QCP, but is not less than once every 8000 t or at least one sample and test performed per month for shipments that exceed 1000 t for each Certified Material
- 10.4 [ ] All load-out samples for Standard Specifications and Quality Assurance aggregates were decanted and tests are within requirements

*If material is obtained from another Certified Producer and is a Certified Material, then load-out tests are required. If the material is obtained from a non-Certified Producer or is not a Certified Material, then the start of production, normal production and load-out tests are required. Search the records for these materials, if applicable, and verify that the required tests have been conducted.*

- 10.5 [ ] Load-out test conducted for Certified Material from another Producer
- 10.6 [ ] Start of production, normal production and load-out tests conducted for material that is not Certified and is received from another Producer

*The Producer shall check coarse aggregates for deleterious materials. Select an active week randomly from the record for quantities of materials made, and note all coarse aggregates produced. Find production test reports for that week and search for deleterious test results.*

- 10.8 [ ] Start of production and normal production frequency is in accordance with QCP, but is not less than once per week for each size of Certified Material. (no test is required if the week's production is less than 100 t)
- 10.9 [ ] Tests are within requirements

**SAMPLING AND TESTING (continued)**

*Select randomly three production test reports and two load-out test reports for any one product and check all calculations performed on the sheets.*

10.7 [ ]      Calculations on all sheets are correct and rounded to the first decimal place (0.0) (crushed particle content values shall be rounded to the whole number (0))

**DECANTATION (AASHTO T 11)**

$$\% \text{ Decant} = \frac{\text{Original Dry Weight} - \text{Dry Weight after Decant}}{\text{Original Dry Weight}} \times 100$$

**GRADATION (AASHTO T 27)**

$$\% \text{ Passing} = \frac{\text{Weight Passing Each Sieve}}{\text{Original Dry Sample Weight}} \times 100$$

**CLAY LUMPS and FRIABLE PARTICLES (AASHTO T 112)**

$$\% \text{ Clay or Friable} = \frac{\text{Dry Wt. of Sample} - \text{Dry Wt. Retained (Wet Sieving)}}{\text{Dry Wt. of Sample}} \times 100$$

**NON-DURABLE MATERIALS (ITM 206)**

$$\% \text{ Non-Durable} = \frac{\text{Weight of Non-Durable Matl. above } 3/8 \text{ in. Sieve}}{\text{Weight of Sample above } 3/8 \text{ in. Sieve}} \times 100$$

**CHERT**

For aggregate sizes 2 through 8, 43, 53, and 73:

$$\% \text{ Total Chert} = \frac{\text{Weight of Chert above the } 3/8 \text{ in. Sieve}}{\text{Total Weight of Sample above the } 3/8 \text{ in. Sieve}} \times 100$$

For aggregate sizes 9, 11, 12, and 91:

$$\% \text{ Total Chert} = \frac{\text{Weight of Chert above the No. 4 Sieve}}{\text{Total Weight of Sample above the No. 4 Sieve}} \times 100$$

**CRUSHED PARTICLES (ASTM D 5821)**

$$\% \text{ Crushed} = \frac{(F)}{F + N} \times 100$$

where:

F = weight of crushed particles

N = weight of uncrushed particles

**SAMPLING AND TESTING (continued)**

*Gravel Producers or Redistribution Terminals that are handling gravel products made at non-certified plants, shall verify the percentage of crushed coarse aggregate particles unless the QCP states otherwise. Select a week randomly from the record for quantities of products made, and note all coarse aggregates produced. Find the production test reports for that week and search for crushed particle test results.*

- 10.10 [ ] Start of production and normal production frequency is in accordance with QCP, but is not less than once per week for each size of Certified Material. (no test is required if the week's production is less than 100 t)
- 10.11 [ ] Tests are within requirements for one and two face fractured particles

Air-Cooled Blast Furnace Slag, except for use in HMA or PCC, shall be sampled and tested for leachate in accordance with ITM 212. Select an active month randomly from the record for quantities made, and verify the frequency of testing.

- 10.12 [ ] The frequency of testing is in accordance with QCP, but is not less than once for each stockpile of approximately 2000 t
- 10.13 [ ] Tests are within requirements

**11. MATERIAL**

**Area Supervisor or** \_\_\_\_\_

*Obtain production and load-out test reports for one critical sieve material over an active period of not less than 10 days of production. Find the corresponding control chart and check for the following.*

- Product with critical sieve selected was: \_\_\_\_\_
- 11.1 [ ] All test dates have points plotted
- 11.2 [ ] All points are plotted correctly
- 11.3 [ ] Average of 5 test value points plotted correctly for two randomly selected points within the 10 days of production

*Obtain production and load-out test reports for one material not controlled by a critical sieve over an active period of not less than 5 days of production. Find the corresponding control chart and check for the following:*

- 11.4 [ ] All test dates have points plotted
- 11.5 [ ] All points are plotted correctly

**12. MATERIAL SAMPLES****ITM 211 References****Aggregate Technician or \_\_\_\_\_**

11.0

14.2.8

14.2.9

15.7

*The CAT shall obtain one sample per material of all Standard Specifications or Quality Assurance materials under production at the site on the day of the audit.*

*The CAT shall obtain a sample of Standard Specification or Quality Assurance materials from three stockpiles not under production, if available, on the site. The stockpiles shall be selected by the INDOT audit team member. Samples at stockpiles shall normally be 5s, 8s, 11s or 53s. Materials such as No. 2 coarse aggregate will be sampled only if currently being used on an INDOT contract.*

*The samples obtained shall be split by the CAT. The INDOT audit team member shall be given the Department's portion of the samples and these samples will be tested.*

*Sampling shall be in accordance with the QCP and the following requirements verified.*

- 12.1 [ ] Sample locations are as described or shown in QCP
- 12.2 [ ] Devices are as described in QCP
- 12.3 [ ] Techniques are as described in QCP
- 12.4 [ ] CAT obtained sample and performed split in accordance with CAPP

*The following test results will be determined. A copy of all test reports from both the INDOT audit team member and the CAT will be attached to the audit checklist. The variation of test results will be shown in the remarks section of the INDOT audit team member's report for each material sampled and tested.*

**Standard Specification or Quality Assurance Materials**

- 12.5 [ ] Producer's gradation is within control limits for critical sieve materials and within Specification Limits for all other sieves
- 12.6 [ ] Producer's gradation is within Specification Limits or QCP identified limits on all sieves for materials without a critical sieve
- 12.7 [ ] Producer's decant is within Specification Limits
- 12.8 [ ] Producer's deleterious content is within Specification Limits
- 12.9 [ ]\* Producer's crushed particles are within Specification requirements
- 12.10 [ ] Test results variations are within CAPP guidelines

\* Gravel Producers and Redistribution Terminal Producers handling gravel materials

**13. LABORATORY**ITM 211 References

8.0

Aggregate Technician or \_\_\_\_\_

9.0

*The laboratory will be inspected for compliance with the QCP.*

- 13.1 [ ] Location as described and/or shown in QCP
- 13.2 [ ] Facility acceptable for testing of materials
- 13.3 [ ] All equipment listed in QCP at laboratory
- 13.4 [ ] All equipment apparently in good working order

*Check the testing equipment verification records to verify that the documentation includes the following:*

1. Description of equipment including Model or Serial Number, if applicable.
2. Name of person performing verification
3. Identification of verification equipment, if applicable
4. Date of verification and next due date
5. Reference of procedure used
6. Verification results

- 13.5 [ ] Balance(s) -- 12 mo.
- 13.6 [ ] Mechanical Shaker(s) -- 12 mo.
- 13.7 [ ] Oven(s) -- 6 mo.
- 13.8 [ ] Sieves -- 6 mo.



**14. AUDIT CLOSE-OUT****DMTE or Area Supervisor**

*When all the results from the audit have been accumulated, including Audit Checklist pages, INDOT test reports, Corrective Action Sheet(s), and other documentation as may be appropriate, the DMTE and/or Area Supervisor shall review the documents to verify that they are prepared properly and complete.*

*The Audit Close-Out meeting with the Producer will be conducted within 10 working days from the date of the audit. The DMTE and/or Area Supervisor will arrange and conduct the meeting with the Producer. The results of the audit will be discussed, and all outstanding matters will be completely resolved or solutions with deadlines will be established. Any addenda required by items listed on the Addenda Summary Sheet, QCP Annex, or Corrective Action Sheets shall be submitted at this time.*

*Upon completion of the Audit Close-Out meeting, all documents will be sent to the Field Support Engineer, Materials and Tests Division.*

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DMTE/Area Supervisor Signature

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Date

**COMPLIANCE RATE WORKSHEET**  
**(Critical Sieve Only)**

SC # \_\_\_\_\_

Product \_\_\_\_\_ Critical Sieve \_\_\_\_\_ QCP Target Mean \_\_\_\_\_

Record the most recent 30 normal production sample test results.

_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Calculate the following Statistics:

$$\bar{x} = \underline{\hspace{2cm}} \quad \sigma_{n-1} = \underline{\hspace{2cm}}$$

$$Z_{\max} = \frac{(\text{QCP Target Mean} + 10) - \bar{x}}{\sigma} = \underline{\hspace{2cm}}$$

$$Z_{\max} \text{ Area of Probability} = \underline{\hspace{2cm}} * \times 100 = \underline{\hspace{2cm}}$$

$$Z_{\min} = \frac{\bar{x} - (\text{QCP Target Mean} - 10)}{\sigma} = \underline{\hspace{2cm}}$$

$$Z_{\min} \text{ Area of Probability} = \underline{\hspace{2cm}} * \times 100 = \underline{\hspace{2cm}}$$

$$\% \text{ Compliance } \Sigma = \underline{\hspace{2cm}} \\ \text{(Whole No.)}$$

\* From Area of Probability Table

FOR BOTH SPECIFICATIONS >0% AND <100%

[illegible]

**EXAMPLE**  
**COMPLIANCE RATE WORKSHEET**  
**(Critical Sieve Only)**

SC # 2799Product #8 Stone Critical Sieve 12.5 mm QCP Target Mean 52.2

Record the most recent 30 normal production sample test results.

<u>55.5</u>	<u>49.4</u>	<u>50.3</u>	<u>56.1</u>	<u>53.6</u>	<u>54.6</u>
<u>51.2</u>	<u>46.0</u>	<u>49.5</u>	<u>59.1</u>	<u>52.6</u>	<u>58.1</u>
<u>53.2</u>	<u>42.4</u>	<u>50.8</u>	<u>55.6</u>	<u>52.1</u>	<u>56.4</u>
<u>56.4</u>	<u>53.1</u>	<u>50.5</u>	<u>53.8</u>	<u>61.3</u>	<u>50.9</u>
<u>54.2</u>	<u>65.7</u>	<u>55.2</u>	<u>52.8</u>	<u>49.7</u>	<u>48.1</u>

Calculate the following Statistics:

$$\bar{x} = \underline{53.3} \quad \sigma_{n-1} = \underline{4.53}$$

$$Z_{\max} = \frac{(\text{QCP Target Mean} + 10) - \bar{x}}{\sigma} = \underline{1.96}$$

$$Z_{\max} \text{ Area of Probability} = \underline{.4750} * \times 100 = \underline{47.50}$$

$$Z_{\min} = \frac{\bar{x} - (\text{QCP Target Mean} - 10)}{\sigma} = \underline{2.45}$$

$$Z_{\min} \text{ Area of Probability} = \underline{.4929} * \times 100 = \underline{49.29}$$

$$\% \text{ Compliance } \Sigma = \underline{97}$$

(Whole No.)

## CORRECTIVE ACTION SHEET

SOURCE # \_\_\_\_\_

DATE \_\_\_\_\_

ITEM \_\_\_\_\_

Problem Explanation: \_\_\_\_\_

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Corrective Action To Be Taken Is: \_\_\_\_\_

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Deadline Date Is: \_\_\_\_\_

Follow-up \_\_\_\_\_ Date \_\_\_\_\_

Finding: \_\_\_\_\_

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If NOT corrected, prepare another Corrective Action Sheet.